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Attorney Docket No. 0980/65686

Total Pages 3

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application

Washington, D. C. 20231

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) are the specification and claims of the nonprovisional patent application of:

Zuhua ZHU and Shih-Yuan WANG

for

Inventors

OPTICAL COMMUNICATIONS SYSTEM AND
VERTICAL CAVITY SURFACE EMITTING LASER THEREFOR

Title of Invention

APPLICATION ELEMENTS ENCLOSED:

1. ☒ Specification (total pages 41 including:
 - a. 16 pages of claims (96 claims)
 - b. 1 page(s) Abstract
2. ☒ 11 sheets of informal ☒ formal drawings (Figs. 1-10)
3. ☒ Oath or declaration of Applicant(s) (3 total pages)
 - a. Newly executed (original)
 - b. ☒ Unexecuted
 - c. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Item 14 completed)
4. Deletion of Inventor(s)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5. Incorporation By Reference
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied in item 3b is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. Microfiche Computer Program (Appendix)

APPLICATION PARTS ENCLOSED:

7. An assignment of the invention to (cover sheet & document(s))
8. 37 CFR 3.73(b) Statement (when there is an assignee)
9. ☒ Power of Attorney
 - a. Newly executed (original)
 - b. ☒ Unexecuted
 - c. Copy from a prior application

08/10/01



JC893 U.S. PTO

J1040 U.S. PTO

09/927802



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10. Information Disclosure Statement (IDS)/PTO-1449

____ Copies of IDS Citations

11. A Preliminary Amendment

12. ☒ Return Receipt Postcard (MPEP 503)

13. Applicant(s) hereby establish small entity status under 37 C.F.R. §1.9 and §1.27

14. If a Continuing Application, check the appropriate box and supply the requisite information:

☐ Continuation of prior application No.: _____ filed _____

☐ Divisional of prior application No.: _____ filed _____

☐ Continuation-in-part (CIP) of prior application No.: _____ filed _____

15. Amend the specification by inserting before the first line of page one: --This is a ____ continuation
____ divisional of application Serial No. _____ filed ____--

16. Priority of application Nos. _____ filed in _____ on _____. Applicant hereby claims
priority under 35 U.S.C. § 119.

____ A certified copy of priority application Nos. _____ are enclosed

____ A certified copy of priority application No. _____ has been filed in prior application
S.N. _____ filed _____

17. Other (identify) _____

The filing fee is calculated as follows:

CLAIMS AS FILED, LESS ANY CLAIMS CANCELLED BY AMENDMENT

					Rate			Fee	
	Number Filed		Number Extra*		Small Entity	Other Entity		Small Entity	Other Entity
Total Claims	96 - 20	=	76	x	\$ 9	\$ 18	=	\$ 684	\$ 0
Indep. Claims	14 - 3	=	11	x	\$ 40	\$ 80	=	\$ 440	\$ 0
Multiple Dependent Claims Presented: Yes ____ No <u>X</u>					\$135	\$270	=	\$ 0	\$ 0
If the difference in column 1 is less than zero, enter "0" in column 2					Basic Fee			\$ 355	\$ 710
					Total Fee			\$ 1,479	\$

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18. X A check in the amount of \$ 1,479.00 to cover the filing fee.
19. A check in the amount of \$ for recordation of the Assignment.
20. X The Commissioner is hereby authorized to charge any additional fees which may be required in connection with the following or credit any overpayment to Deposit Account No. 03-3125.
- X Filing fees under 37 C.F.R. § 1.16.
- X Patent application processing fees under 37 C.F.R. §1.17.
- The issue fee set in 37 C.F.R. §1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. §1.311(b).
21. X Three copies of this sheet are enclosed.
22. Other (identify)

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Respectfully submitted,

August 10, 2001
Date


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Zuhua ZHU, et al.

Serial No. : Group Art Unit:

Date Filed : Concurrently Herewith Examiner:

For : OPTICAL COMMUNICATIONS SYSTEM AND VERTICAL
CAVITY SURFACE EMITTING LASER THEREFOR

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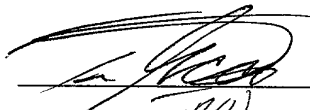
Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

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LETTER OF TRANSMITTAL

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Date of Deposit: August 10, 2001

I hereby certify that the above-identified application (consisting of a 41-page specification (including 16 pages of claims (96 claims) and a 1 page Abstract), and 11 sheets of formal drawings (Figs. 1-10)), 3 copies of an Application Transmittal Form, unexecuted Declaration and Power of Attorney, and a check for the \$1,479 filing fee, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



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